OIPE JC56 APR 27 2005 PATENT & TRADEMARK OFFICE

PTO/SB/21 (02-04)
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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/676,970
Filing Date	09/30/2003
First Named Inventor	Rakesh Agrawal
Art Unit	2171
Examiner Name	Undetermined
Attorney Docket Number	ARC920030033US1

Total Number of Pages in This Submission: —

ENCLOSURES *(Check all that apply)*

- [x] Fee Transmittal Form
  - [ ] Fee Attached
- [ ] Amendment/Reply
  - [ ] After Final
  - [ ] Affidavits/declaration(s)
- [ ] Extension of Time Request
- [ ] Express Abandonment Request
- [x] Information Disclosure Statement
- [ ] Certified Copy of Priority Document(s)
- [ ] Response to Missing Parts/ Incomplete Application
  - [ ] Response to Missing Parts under 37 CFR 1.52 or 1.53
- [ ] Drawing(s)
- [ ] Licensing-related Papers
- [ ] Petition
- [ ] Petition to Convert to a Provisional Application
- [ ] Power of Attorney, Revocation Change of Correspondence Address
- [ ] Terminal Disclaimer
- [ ] Request for Refund
- [ ] CD, Number of CD(s) _____
- [ ] After Allowance communication to Technology Center (TC)
- [ ] Appeal Communication to Board of Appeals and Interferences
- [ ] Appeal Communication to TC **(Appeal Notice, Brief, Reply Brief)**
- [ ] Proprietary Information
- [ ] Status Letter
- [x] Other Enclosure(s) (please Identify below):
  1. Return Receipt Postcard
  2. Transmittal Form

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Leonard T. Guzman (Registration No. 46,308)
Signature	
Date	4/25/2005

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Susana R. Delgado		
Signature	Susana R. Delgado	Date	4/25/05

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OIPE JC56
APR 27 2005
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PTO/SB/17 (10-04v2)
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FEE TRANSMITTAL for FY 2005

Effective 10/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT ($) 0.00

Complete if Known	
Application Number	10/676,970
Filing Date	09/30/2003
First Named Inventor	Rakesh Agrawal
Examiner Name	Undetermined
Art Unit	2171
Attorney Docket No.	ARC920030033US1

METHOD OF PAYMENT *(check all that apply)*

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☑ Deposit Account:

Deposit Account Number: 09-0441

Deposit Account Name: IBM Corporation

The Director is authorized to: *(check all that apply)*

☐ Charge fee(s) indicated below ☐ Credit any overpayments

☑ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, **except for the filing fee** to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description	Fee Paid
1001	790	2001	395	Utility filing fee	
1002	350	2002	175	Design filing fee	
1003	550	2003	275	Plant filing fee	
1004	790	2004	395	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) ($) 0.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims		Fee from below		Fee Paid
Total Claims		-20** =		X	=
Independent Claims		- 3** =		X	=
Multiple Dependent					=

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	88	2201	44	Independent claims in excess of 3
1203	300	2203	150	Multiple dependent claim, if not paid
1204	88	2204	44	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) ($) 0.00

***or number previously paid, if greater; For Reissues, see above*

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for *ex parte* reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	430	2252	215	Extension for reply within second month	
1253	980	2253	490	Extension for reply within third month	
1254	1,530	2254	765	Extension for reply within fourth month	
1255	2,080	2255	1,040	Extension for reply within fifth month	
1401	340	2401	170	Notice of Appeal	
1402	340	2402	170	Filing a brief in support of an appeal	
1403	300	2403	150	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,370	2453	685	Petition to revive - unintentional	
1501	1,370	2501	685	Utility issue fee (or reissue)	
1502	490	2502	245	Design issue fee	
1503	660	2503	330	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	790	2809	395	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	790	2810	395	For each additional invention to be examined (37 CFR 1.129(b))	
1801	790	2801	395	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) ($) 0.00

SUBMITTED BY				(Complete *(if applicable)*)	
Name (Print/Type)	Leonard T. Guzman	*Registration No. (Attorney/Agent)*	46,308	*Telephone*	408-927-3377
Signature				*Date*	4/25/2005

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Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 5

Complete if Known	
Application Number	10/676,970
Filing Date	09/30/2003
First Named Inventor	Rakesh Agrawal
Art Unit	2171
Examiner Name	Undetermined
Attorney Docket Number	ARC920030033US1

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number Number-Kind Code[2] *(if known)*	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US- 2001/0044791 A1	11-22-2001	Richter et al.	
		US- 6,389,372 B1	05-14-2002	Glance et al.	
		US- 6,401,111 B1	06-04-2002	Dan et al.	
		US- 2002/0138607 A1	09-26-2002	O'Rourke et al.	
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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document Country Code[3]-Number[4]-Kind Code[5] *(if known)*	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T[6]

Examiner Signature		Date Considered	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 2 of 5

Complete if Known	
Application Number	10/676,970
Filing Date	09/30/2003
First Named Inventor	Rakesh Agrawal
Art Unit	2171
Examiner Name	Undetermined
Attorney Docket Number	ARC920030033US1

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
		R. AGRAWAL et al. Athena: Mining-based Interactive...Proc. of the Seventh Int'l Conference on Extending Database Technology (EDBT), Konstanz, Germany, March 2000.	
		A. BLUM et al. Combining labeled and unlabeled data with co-training. In COLT: Proceedings of the Workshop on Computational Learining Theory, Morgan Kaufmann Pubs, 1998.	
		A. BRODER et al. Information retrieval on the web: Tools and algorithmic issues. In Foundations of Computer Science, Invited Tutorial, 1998.	
		C. J. C. BURGES. A tutorial on support vector machines for pattern recognition. Data Mining and Knowledge of Discovery, 2(2): 121-167, 1998.	
		S. CHAKRABARTI. Data mining for hypertext: A tutorial survey. SIGKDD Explorations, 1, 2000.	
		S. CHAKRABARTI et al. Enhanced hypertext categorization using hyperlinks. In Proc. of the ACM SIGMOD Int'l Conference on Management of Data, Seattle, WA, May 1998.	
		R. COLLBERT et al. SVMTorch: Support vector machines for large-scale regression problems. Journal of Machine Learning Research, 1:143-160, 2001.	
		P. DOMINGOS et al. Mining the network value of customers. In 7th Int'l Conf. on Knowledge Discovery in Databases and Data Mining, pages 57-66, San Francisco, CA, Aug. 2001.	
		T. FAWCETT et al. Adaptive fraud detection. Data Mining and Knowledge Discovery, 1(3):291-316, 1997.	
		N. FRIEDMAN et al. Learning probabilistic relational models. In IJCAI, pages 1300-1309, 1999.	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 3 of 5

Complete if Known	
Application Number	10/676,970
Filing Date	09/30/2003
First Named Inventor	Rakesh Agrawal
Art Unit	2171
Examiner Name	Undetermined
Attorney Docket Number	ARC920030033US1

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
		M.X. GOEMANS et al. .878-approx. algorithms for MAX CUT and MAX 2SAT. In Proc. of the Twenty-Sixth..Theory of Computing, pp 422-431, Montreal, Quebec, Canada, 23-25 May 1994.	
		I. GOOD. The Estimation of Probabilities: An Essay on Modern Bayesian Methods. M.I.T. Press, 1965.	
		T. JOACHIMS. Transductive...vector machines. In I. Bratko and S. Dzeroski, editors, Proceedings of ICML-99, 16th Int. Conf. on Mach. Learning, pp 200-209, Bled, SL, 1999.	
		H.KARLOFF. How good is the Goemans-Williamson MAX CUT algorithm? In Proc. of the Twenty-Eighth Annual ACM Symp...Theory of Comp., pp 427-434, Philadelphia, PA, 22-24, May 1996	
		R.M. KARP. Reducibility among combinatorial problems. In R.E. miller and J.W. Thatcher, editors, Complexity of Computer Computations, pp 85-103. Plenum Press, New York, 1975	
		G. KARYPIS et al. A fast and high quality...scheme for partitioning irregular graphs. Technical Report TR 95-035, Univer. of Minnesota, Dept. of Computer Science, 1995.	
		H. KAUTZ et al. Referralweb: Combining social networks and collaborative filtering. Communicatons of the ACM, 40(3):63-65, 1997.	
		B. W. KERNIGHAN et al. An efficient heuristic procedure for partitioning graphs. The Bell System Technical Journal, pages 291-307, 1970.	
		S. MILGRAM. The small world problem. Psychology Today, 2:60-67, 1967.	
		T. MITCHELL. The role of unlabeled data in supervised learning. In Proceedings of the Sixth International Colloquium on Cognitive Science, San Sebastian, Sapin, 1999.	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 4 of 5

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Filing Date	09/30/2003
First Named Inventor	Rakesh Agrawal
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Examiner Name	Undetermined
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		T. M. MITCHELL. Machine Learning. McGraw-Hill, 1997.	
		J. NEVILLE et al. Iterative classification in relational data. In Proc. AAAI-2000 Workshop on Learning Statistical Models from Relational Data. AAAI Press, 2000.	
		NIGAM et al. Learning...unlabeled documents.In Proc. of AAAI-98, 15th Conf. of the Am. Assoc. for Artificial Intel.,pp.792-799, Madison, US, 1998. AAAI Press, Menlo Park, US.	
		PANG et al. Thumbs up? Sentiment classification...learning techniques. In Proc. of the 2002 Conf. on Empirical Methods in Natural Lang. Processing (EMNLP), pp.79-86, 2002.	
		G. SALTON. Automatic Text Processing: The Transformation, Analysis, and Retrieval of Information by Computer. Addison-Wesley, New York, 1989.	
		M. F. SCHWARTZ et al. Discovering shared interests using graph analsysis. Communications of the ACM, 36(8):78-89, 1993.	
		D. SPIELMAN et al. Spectral partitioning works: Planar graphs and finite element meshes. In 37th Annual Symposium on Foundations of Computer Science, 1996.	
		P. TURNEY. Thumbs up or thumbs down? Semantic...classification of reviews. In Proceedings of the 40th Annual Mtg. of the Asso. for Comp. Ling. (ACL 2002), July 2002.	
		V.N. VAPNIK. The nature of statistical learning theory. Springer Verlag, Heidelberg, DE, 1995.	
		G. K. ZIPF. Human Behavior and the Principle of Least Effort. Addison-Wesley, 1949.	

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Sheet 5 of 5

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First Named Inventor	Rakesh Agrawal
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Attorney Docket Number	ARC920030033US1

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
		M. A. SMITH et al. Visualization components for persistent conversations. Proceedings of the SIGCHI Conf. on Human factors in comp. systems, March 2001 pp. 136-143.	
		I. V. CADEZ et al. Probabilistic modeling...prediction. Proceedings of th seventh ACM SIKKDD Int'l Conf. on Knowledge Discovery and Data Mining, Aug. 2001 pp. 37-46.	
		T. MAH et al. Funnel report mining for the MSN Network. Proceedings of the seventh ACM SIGKDD Int'l Conf. on Knowledge Discovery and the data mining, Aug. 2001, pp. 450-455.	

Examiner Signature		Date Considered	

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